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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/454,978	12/03/1999	PETER E. RAYNER	CITI0128	4487

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EXAMINER
AKERS, GEOFFREY R

ART UNIT	PAPER NUMBER
3624	

DATE MAILED: 12/11/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/954778

Applicant(s)

Raynor

Examiner

Abars, g

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 8/4/03
- 2a) ☒ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1, 3-7, 11-13, 16, 18-23, 25, 30, 33, 35, 36 is/are pending in the application.
- 4a) Of the above, claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1, 3-7, 11-13, 16, 18-23, 25, 30, 33, 35, 36, 38-41 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election require

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- *See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

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DETAILED ACTION

Response to Amendment

1. This action is issued in reply to applicant's Amendment A(Paper #15) filed 10/22/03.
2. Independent claims 1,38,66-67 were amended.Claims 2,8-10,14,15,17,29,34,37,42-45,48-50,52,55-59,61-63 were canceled. No claims were added.
3. Claims 1,3-7,11-13,16,18-23,25,30,33,35,36,38-41,46,47,51,53,54,60,64,66-67 are pending.

Claim Rejections - 35 USC § 103

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1,3-7,11-13,16,18-23,25,30,33,35,36,38-41,46,47,51,53,54,60,64,66-67 are rejected under 35 USC 103(a) as unpatentable over Ordish(US Pat. No: 5,727,165) in view of Gutterman(US Pat. No: 5,297,031) in view of SelectNet/SuperSOES(1994) and further in view of Howorka(US Pat. No: 6,282,521).

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6. As per claims 1,3-7,11-13,16,18-23,25,30,33,35,36,38-41,46,47,51,53,54,60,64,66-67 as amended, Ordish teaches a method for data management of a financial transaction(Abstract) which receives a request from a user for a proposed transaction(col 5 line 37-66). Ordish teaches a plurality of trading systems(Fig 1). Ordish teaches a trader's rate quote(col 5 line 65-col 6 line 8) as well as entry at a terminal(keystation)(col 5 lines 40-45) and timed match acknowledgement(Abstract) as well as forming counteroffers which include rejecting an initial offer(col 5 line 67-col 6 line 7) and reporting a trade in a period of time(col 6 lines 30-32) as well as a quote good for a known period of time(col 7 lines 14-19). Gutterman teaches timed open orders(col 4 lines 18-19) and that a workstation FIFO buffer receives orders from an entry system(col 7 lines 37-52)(col 8 lines 33-37).Gutterman further teaches market, contingency, stop, sell stop,stop limit, market if touched, alternative, scale, and contingent orders and spreads(col 3 line 25-col 4 line 65) in the quote process.Gutterman teaches generating a rate quote consisting of one executable rate quote(col 1 lines 32-36) as well as time-stamping orders(col 2 lines 60-65) as well as orderly execution(col 3 lines 11-30) as well as entry at a terminal through a computer and ending with a printer(col 2 lines 65-68).Selectnet/SuperSOES teaches an order execution system for small as well as large orders(Pages 1-4) where deals are limited to certain sizing requirements where deals in larger sizes can be consummated under SuperSOES with a specified rate quote(Page 1)(Page 2)(Page 5)(Table I).Haworka teaches a trading system which is matched with a block of securities of a predetermined size at multiple trading floors and exchange

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areas(Abstract)(Fig 1)(Fig 3)(col 2 line 50-col 4 line 27)(col 3 line 58-col 4 line 26).Haworka also teaches updating queues of available quotes and updating a status of a quote and transmitting the update to any of F floors or exchanges for display(Fig 3). It would have been obvious to one skilled in the art at the time of the invention to combine Ordish in view of Gutterman to teach the above. The motivation to combine is to teach a system for efficient executions between the trading floor and a plurality of customers as enunciated by Gitterman(col 5 lines 49-55).It would have been obvious to one skilled in the art at the time of the invention to combine Ordish in view of Gutterman and further in view of SOES/SuperSOES to teach the above. The motivation to combine is to teach a system for efficient data management for financial transactions and large block/small block trading as depicted by SOES/Super SOES. It would have been obvious to one skilled in the art at the time of the invention to combine Ordish in view of Gutterman and further in view of SOES/SuperSOES to teach the above. The motivation to combine is to teach a system for efficient data management for financial transactions which provides a market maker with an indication as to how many trading floors or exchanges are about to accept its quote as enunciated by Haworka (col 2 lines 64-67).

Response to Arguments

7. Applicant's arguments with respect to claims cited have been considered but are moot in view of the new ground(s) of rejection.

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Conclusion

8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

9. Any questions concerning this communication should be addressed to the examiner of record, Dr. Geoffrey Akers, P.E., who can be reached between 6:30 AM and 5:00 PM Monday through Friday at 703-306-5844. If attempts to contact the examiner are unsuccessful, the examiner's superior, Mr. Vincent Millin, SPE, may be telephoned at (703)-308-1065.

The fax number for Formal or Official faxes and Draft or Informal faxes to Technology Center 3600 or this Art Unit is (703)-308-3687. Any inquiry of a general nature or relating to the

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status of this application should be directed to the Group receptionist whose telephone number is
(703)-308-1113.

GRA

December 5, 2003

DR. GEOFFREY R. AKERS, P.E.
PRIMARY EXAMINER